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Tēnā koe Shane

### Official Information Act Request – OIA 14056 Copies of Risk Registers

On 22 December 2021, under section 12 of the Official Information Act, you requested the following information from Whanganui District Health Board (WDHB):

Under section 12 of the Official Information Act 1982 we request copies of current risk registers including but not limited to infrastructure and facilities, information technology and workforce risk registers.

### Whanganui District Health Boards response:

**Copy of current risk registers including but not limited to infrastructure and facilities, information technology and workforce risk registers. Controls and actions have been included for risks with a critical or high residual risk rating.**

Risk Title	Risk Type	Inherent Risk Rating	Residual Risk Rating	Acceptable Risk Rating
Filaments left in eyes from ophthalmology injections could lead to discomfort for the patient and potential for further surgical procedures	Operational risk	High	Low	Low
Short and long-term supply pharmaceutical issues affecting WDHB <i>Controls/Actions:</i> <i>Monitoring updates from Pharmac and other supply information channels and communicating to relevant areas</i> <i>Working with other DHBs and community suppliers to fill shortages where possible</i> <i>Changing usage and providing alternates for medications already on short supply</i>	Operational risk	Critical	High	High
Clinical Coding resource shortage causes incomplete data records for reporting and Inter District Funding income	Operational risk	High	Low	Low
Significant shortage of staff to cover MHAHT (Mental Health Assessment Home Treatment) roster means an inability to provide full service to the community	Operational risk	Critical	Critical	Low

Chief Executive | Phone 06 348 3140

Risk Title	Risk Type	Inherent Risk Rating	Residual Risk Rating	Acceptable Risk Rating
<p><i>Controls/Actions:</i></p> <p><i>Recruitment process is in place</i></p> <p><i>Working with unions and Community Mental Health staff to assist when running lean rosters</i></p> <p><i>Working with NGOs to provide support and resource</i></p>				
<p>Workforce shortage in Home and Community based support services</p> <p><i>Controls/Actions:</i></p> <p><i>Working with providers, Ministry of Social Development and UCOL to identify new workers and micro skills packages to place in employment</i></p> <p><i>Supporting providers to provide essential services only</i></p> <p><i>Social Workers have been requested to not refer for non-essential services such as housework</i></p>	Operational risk	High	High	High
<p>Workforce shortage in Aged Residential Care leading to providers not accepting admissions</p>	Operational risk	High	Medium	Medium
<p>Over capacity and increased acuity in Te Awhina, with FTE vacancy</p> <p><i>Controls/Actions:</i></p> <p><i>Continue public recruitment process</i></p> <p><i>Utilise appropriate leave for tanagata whaiora (BAU), access transition beds and home-based treatment</i></p> <p><i>Three new entries to specialist practice have been recruited</i></p>	Operational risk	Critical	High	Medium
<p>ECG computer software still under Windows 7 and does not support the ICT computer update resulting in problems with reporting on cardiac investigations</p>	Operational risk	High	Medium	Low
<p>Biomedical equipment checks not being completed leading to potential for faults and warranty issues</p>	Operational risk	High	Medium	Low
<p>Teams telephone system faulty resulting in inability to place or complete calls for all areas of the DHB leading to patient harm</p> <p><i>Controls/Actions:</i></p> <p><i>Teams telephony now more stable and Mitel phones working well in clinical areas. Recent Telephony issues have been due to issues with Enghouse – Telephonists software, Network firewalls and with the Vodafone network rather than with Teams</i></p>	Operational risk	Critical	High	Low

<b>Risk Title</b>	<b>Risk Type</b>	<b>Inherent Risk Rating</b>	<b>Residual Risk Rating</b>	<b>Acceptable Risk Rating</b>
<i>New switches and network segmentation 80% completed</i>				
Increasing MRI waitlist is causing delays to patient diagnosis which may cause treatment delays  <i>Controls/Actions:</i> <i>A deep dive into the data to help us understand when the increase in demand is coming from and to allow ELT to understand the impacts of providing private and ACC work</i>  <i>Business case for additional FTE to increase MRI working hours</i>	Operational risk	High	High	Low
Increasing ultrasound waitlist is resulting in delays to patient's diagnosis and potentially causing treatment delays	Operational risk	High	Low	Low
Pacific Radiology price negotiations may result in unbudgeted increase of up to half a million  <i>Controls/Actions:</i> <i>New contract negotiated with Pacific Radiology and approved by Board.</i>	Operational risk	High	High	Medium
Medlab contract negotiations may not be successful due to delays and leading to service disruption and potential for patient harm  <i>Controls/Actions:</i> <i>Continued negotiations after the current discovery phase to try and finalise and agreement</i>  <i>Continued dialogue and payment with Medlab during the negotiation period</i>	Operational risk	Critical	High	High
Loans equipment space is not adequate to ensure robust infection prevention measures are followed or ensuring staff and public are not safe  <i>Controls/Actions:</i> <i>Design changes have been recommended and approved; waiting on dates for work to comence</i>	Operational risk	High	High	Low
Patient falls while in our care resulting in minor to severe injuries	Operational risk	High	Low	Low
Patient develops a skin integrity issue while in our care causing harm	Operational risk	High	Low	Low
Non-compliance with legislation, Health and Disability standards and other regulations applicable to the DHB	Operational risk	High	Low	Accepted

Risk Title	Risk Type	Inherent Risk Rating	Residual Risk Rating	Acceptable Risk Rating
<p>The cost to deliver current services is more than the funds available in the assumed funding envelope for the 2021/22 financial year</p> <p>Controls/Actions:</p> <p>The WDHB has continued working a number of savings initiatives started in 2020 which are working to keep the monthly operating results in line with budget by year end. Currently the WDHB are forecasting to achieve budget in spite of increasing volumes above plan and increasing consumable prices.</p>	Operational risk	High	High	Medium
<p>Lack of access to mental health crisis support results in harm to self or others</p> <p><i>Controls/Actions:</i></p> <p><i>Monitoring the effectiveness of the crisis educator's role by recording types of presentations, interventions and outcomes.</i></p> <p><i>The Homecare Medical crisis triage service ceased from December 2021. The MHAHT team have recommenced a 24/7 urgent mental health service that is more responsive directly by using their own answering service</i></p> <p><i>Mental Health Risk Screen lanyard cards, traffic light cards and wellbeing cards are available for WDHB staff to provide for the wider community and community partners</i></p>	Operational risk	Critical	High	Low
<p>No emergency alarm system in Radiology causing potential harm from delay in assistance</p>	Operational risk	High	Medium	Low
<p>Aging radiology X-ray and fluoroscopy equipment breakdown will result in inability to provide optimal patient care</p> <p>Controls/Actions:</p> <p>We have 2 x-ray rooms so if one breaks down we can use the other, however, there will be delays to community services as ED and inpatients will be given priority</p> <p>Provisional capex approval has been processed</p> <p>Review of fluoroscopy requirements is underway</p>	Operational risk	Critical	Critical	Low
<p>Short and long-term supply issues affecting WDHB stores of equipment, PPE and general clinical supplies</p> <p><i>Controls/Actions:</i></p> <p><i>Currently hold 2-3 days of main stock of products; two weeks of PPE stock</i></p>	Operational risk	Critical	High	High

<b>Risk Title</b>	<b>Risk Type</b>	<b>Inherent Risk Rating</b>	<b>Residual Risk Rating</b>	<b>Acceptable Risk Rating</b>
<p><i>Purchase of alternative products where available; constant contact with suppliers on timeframes and availability; connections with other DHBs and private clinics/hospitals</i></p> <p><i>Communications to staff on supply issues</i></p> <p><i>Early escalation on issues that could affect the functioning of the hospital</i></p>				
An internal or external party commits fraud against WDHB leading to financial and/or reputation loss	Operational risk	Medium	Low	Low
<p>Medication errors cause harm to patients</p> <p><i>Controls/Actions:</i></p> <p><i>Regular auditing and education of all steps of process: prescribing, dispensing, providing (to patient), taking (by patient)</i></p> <p><i>Implemented syringe and volumetric pumps that are preprogrammed using drug error reduction software</i></p> <p><i>Drug and Therapeutics Committee in place that governs the medication prescribing and dispensing process</i></p>	Operational risk	Critical	High	Low
<p>Incidents of aggression towards staff, other service users and visitors causes physical harm, diminished health and wellbeing and an unsafe environment</p> <p><i>Controls/Actions:</i></p> <p><i>Aggression workgroup in place</i></p> <p><i>Reporting, monitoring and measuring of incidents of violence and aggression</i></p> <p><i>De-escalation programme</i></p> <p><i>Security on site</i></p> <p><i>Occupational health team</i></p>	Operational risk	Critical	High	Medium
Depleting storage space for patients' medical records	Operational risk	Medium	Low	Low
Lack of typing resources to manage increased demand for typed dictation for outpatient clinics including community nursing services	Operational risk	High	Medium	Low
Non-compliance with Holidays Act leads to extra costs than anticipated causing budget over-run	Operational risk	Critical	Medium	Low
Fire causes harm and/or property damage	Operational risk	High	Low	Low
ICT hardware and software is compromised due to a security issue causing damage	Operational risk	Critical	Medium	Medium

Risk Title	Risk Type	Inherent Risk Rating	Residual Risk Rating	Acceptable Risk Rating
and/or disruption to computer network and hospital functionality				
<p>Staff harmed while working in community</p> <p><i>Controls/Actions:</i></p> <p><i>Aggression workgroup in place</i></p> <p><i>Behaviour algorithm implemented in district nursing; alerts in patient notes and electronic systems</i></p> <p><i>Lone worker alarm: currently been trialing with one team in Primary and Community and looking at other areas to use</i></p> <p><i>Reporting, monitoring and measuring of incidents of violence and aggression</i></p> <p><i>De-escalation programme</i></p> <p><i>Vehicle use policy and procedure in place</i></p> <p><i>Occupational health team</i></p> <p><i>Client terms of service</i></p>	Operational risk	Critical	High	Low
<p>Injury to staff from manual handling</p> <p><i>Controls/Actions:</i></p> <p><i>Manual handling programmes in place with extensive training and upgrade of equipment in last two years</i></p> <p><i>Bariatric training programme has been developed</i></p> <p><i>Exploring the options of ceiling hoists</i></p> <p><i>Exploring equipment options with other services, e.g. Spotless and Stores for moving heavy or awkward loads, e.g. trolley movers</i></p>	Operational risk	Critical	High	Medium
Utilisation of SACAT legislation is compromised due to the inability to access appropriate expertise related to difficulty of staff maintaining competence as a result of low demand for the intervention	Operational risk	High	Medium	Low
Lab and radiology results are not reviewed and followed up in a timely manner leading to patient harm	Operational risk	Critical	Low	Low
<p>Incomplete discharge summaries can lead to failure to follow up on patient and potential harm</p> <p><i>Controls/Actions:</i></p> <p><i>Daily checks of admissions by Patient Safety, Quality &amp; Innovation. Emails sent to SMOs where discharge summaries have not been completed</i></p> <p><i>Interim discharge summaries are now a task in Clinical Portal, so clinicians can check on</i></p>	Operational risk	High	High	Low

<b>Risk Title</b>	<b>Risk Type</b>	<b>Inherent Risk Rating</b>	<b>Residual Risk Rating</b>	<b>Acceptable Risk Rating</b>
<i>outstanding discharge summaries whenever they need to and add to their daily tasks</i>				
ICT resource is mismatched with current DHB workload needs	Operational risk	Critical	Medium	Low
Ultrasound is not offering carotid scans and very limited access to 2nd and 3rd trimester scans leading to delays	Operational risk	High	Low	Low
ICT hardware and software is compromised due to aging systems, end of support, technology lifecycle	Operational risk	High	Low	Low
<p>Delays in Faster cancer treatment (FCT) process leads to patient harm and non-compliance with the Ministry of Health FCT timeframes</p> <p><i>Controls/Actions:</i></p> <p><i>Cancer Nurse Coordinator/FCT Tracker/General Surgeon review histology and CT scans to check for critical results and contact community referrer to complete a referral</i></p> <p><i>Referral Centre identifies any high suspicion cancer referrals and ensures they follow the pathway for processing urgent referrals</i></p> <p><i>Patient Scheduling identifies any high suspicion cancer referrals and ensures they follow the pathway for processing urgent referrals within one week of receipt.</i></p> <p><i>All incidents are investigated, and improvements recommended and followed up</i></p>	Operational risk	Critical	High	Accepted
Inaccuracies in Mental Health Act documents can lead to breach of consumer rights regarding MHA status and/or leave status resulting in complaints, cost and consumers coming off the act unplanned	Operational risk	High	Low	Accepted
WDHB is unable to provide Echo Cardiography Service increasing waiting lists and potential for patients not to receive scans in reasonable timeframe	Operational risk	High	Medium	Low
<p>Shortage in Lead Maternity Carers (LMC) in Whanganui region resulting in growing number of pregnant women unable to secure the service of a community based LMC</p> <p><i>Controls/Actions:</i></p> <p><i>WDHB has developed a new model of care providing primary midwifery service</i></p> <p><i>Communications to general practitioners about what services they can provide in the</i></p>	Operational risk	Critical	High	Low

<b>Risk Title</b>	<b>Risk Type</b>	<b>Inherent Risk Rating</b>	<b>Residual Risk Rating</b>	<b>Acceptable Risk Rating</b>
<p><i>first trimester</i></p> <p><i>Develop long-term recruitment strategy</i></p> <p><i>Recruit to a community postnatal service</i></p> <p><i>Initiating model of care &amp; set up outpatient antenatal clinics and acquire administration hours</i></p>				
<p>Damage to Mental Health facilities from service users leads to unplanned costs and interruption to services</p>	Operational risk	Medium	Low	Accepted
<p>Challenges with recruitment to vacancies and retention of Mental Health clinical staff</p> <p><i>Controls/Actions:</i></p> <p><i>Psychiatrist recruitment: New SMO to start in February 2022, second application in process</i></p> <p><i>Registrar training ongoing including rural attachment approval</i></p> <p><i>Recruitment program and retention program</i></p> <p><i>Locums/nursing workforce</i></p>	Operational risk	High	High	Low
<p>Inadequate restraint processes result in patient harm and breach of rights</p>	Operational risk	High	Low	Accepted
<p>Inadequate delivery of safe core mental health services</p>	Operational risk	Critical	Low	Accepted
<p>Patient safety and staff performance risks identified in general medicine department credentialing could lead to sub optimal patient care</p> <p><i>Controls/Actions:</i></p> <p><i>Implementing recommendations from credentialing review in the Capital Investment, Culture, Operational areas</i></p>	Operational risk	High	High	Low
<p>WDHB does not undertake pro-equity action to improve equity in health outcomes for Maori following implementation of the recommendations from the WDHB Pro Equity Check-up Report Dec 2018</p> <p><i>Controls/Actions:</i></p> <p><i>Pro-equity check-up implementation framework developed and agreed by the executive sponsors</i></p> <p><i>Resources to support implementation include external expert advice and mentorship, administration and coordination</i></p> <p><i>recommendation, shared across the executive team</i></p>	Strategic risk	High	High	Low



Risk Title	Risk Type	Inherent Risk Rating	Residual Risk Rating	Acceptable Risk Rating
<p>Financial - Inability to achieve the organisation's objectives within the funding available</p> <p><i>Controls/Actions:</i></p> <p><i>WDHB has continued working a number of savings initiatives</i></p> <p><i>Monthly reporting and performance monitoring in place</i></p> <p><i>Culture of cost awareness and waste minimisation</i></p> <p><i>Procurement only through authorised process and suppliers</i></p> <p><i>Asset management systems</i></p>	Strategic risk	High	High	Low
Commercial contracting - Contractual failure or inadequacy adversely impacts on organisational performance	Strategic risk	High	Low	Low
Reputational and image - Loss of stakeholder confidence in our services or organisation	Strategic risk	High	Low	Low
Facilities and equipment - That failures of facilities and equipment prevent the organisation meeting its objectives	Strategic risk	High	Low	Low
<p>Health and safety - Staff, or a person on our site, suffers preventable harm</p> <p><i>Controls/Actions:</i></p> <p><i>Staff participation in health and safety</i></p> <p><i>Policies and procedures for lone and isolated staff in place</i></p> <p><i>Manual handling programmes in place</i></p> <p><i>Equipment purchased is fit for purpose</i></p> <p><i>Effective system in place for capture, monitoring, reporting health and safety incidents</i></p> <p><i>Contractor health and safety participation and monitoring performance</i></p> <p><i>Health and safety audits</i></p> <p><i>Aggression workgroup</i></p>	Strategic risk	Critical	High	Low
Workforce - Insufficient competent staff resource to fulfil our organisational objectives	Strategic risk	High	Low	Low
<p>Service access and transfer of care - People are harmed or disadvantaged either by a lack of ability to access the service or a lack of effective transfer process</p> <p><i>Controls/Actions:</i></p>	Strategic risk	High	High	Low

<b>Risk Title</b>	<b>Risk Type</b>	<b>Inherent Risk Rating</b>	<b>Residual Risk Rating</b>	<b>Acceptable Risk Rating</b>
Regional governance group in place. Investment plan, HEAT tool, prioritisation processes. Monitoring the robustness of systems and processes Referral pathways, triaging processes in place, Did not attend (DNA) review process, auditing of unplanned transfers Mortality and Morbidity Committee meetings, chart review of all deaths				
Quality of service - Patients or service users suffer preventable harm, are dissatisfied with care, experience disadvantage or material inconvenience	Strategic risk	High	Low	Low
Emergency preparedness - Inability to carry out the DHB's critical functions following a natural disaster, emergency or organisational failure	Strategic risk	Critical	Low	Low
Privacy breaches arising from human error and unauthorised access to health information leading to reputation damage and lack of community trust	Strategic risk	High	Low	Accepted

Should you have any further queries about the above information, please contact our OIA co-ordinator Anne Phoenix at [anne.phoenix@wdhb.org.nz](mailto:anne.phoenix@wdhb.org.nz)

Ngā mihi

Russell Simpson  
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